

2161\$

I hereby certify that this correspondence is being deposited with the United Postal Service with sufficient postage as priority mail in an envelope addressed to Assistant Commissioner for Patents and Trademarks, Washington, D.C. 20231 on October 15, 2001.



*Mahesh R. Khosani*  
Signature: \_\_\_\_\_

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s): Williams et al.

Serial No.: 09/820,377

Filed: March 27, 2001

Title: Apparatus, Systems and Methods  
for Online, Multi-Parcel, Multi-  
Carrier, Multi-Service Enterprise  
Parcel Shipping Management

Attorney Docket No.: PSTM0041/MRK

**RECEIVED**

JUN 25 2002

**GROUP 3600**

Group Art Unit: 2161

Examiner: Not Yet Assigned

Date: October 15, 2001

Assistant Commissioner for Patents  
Washington, D.C. 20231

140 S. Lake Ave., Suite 312  
Pasadena, CA 91101-4710

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**  
**37 CFR § 1.97(b)**

Commissioner:

Section 1: Preliminary Statements:

In compliance with the duty of disclosure under 37 CFR §§ 1.56, 1.97 and 1.98, and in accordance with the provisions in the manual of patent examining procedure §§ 609 and 707.05(B), enclosed is Form PTO-1449 listing references that are known to applicant. Copies of each of the listed references are enclosed. This filing is timely because it is made during one of the periods described in 37 CFR § 1.97(b).

While this Information Disclosure Statement, and the references cited in any enclosed Form PTO-1449 may be "material" pursuant to 37 CFR § 1.56, submission of this Information Disclosure Statement and citation of references listed in any enclosed Form PTO-1449 are not intended to constitute an admission that any patent, publication or other information referred to herein is "prior art" for this invention unless specifically designated as such.

Application Serial No. 09/820,377  
SUPPLEMENTAL INFORMATION  
DISCLOSURE STATEMENT

In accordance with 37 CFR 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 CFR 1.56(a) exists.

It is respectfully requested that the listed references be considered in the examination of this application and identified on the list of references cited on the patent issuing for this application. Applicant also requests that an initialed copy of Form PTO-1449 be entered in the application file and returned to Applicant with the next communication from the office in accordance with MPEP §609.

Section 2. FORM 1449

A list of patents and publications is set forth on the enclosed Form PTO-1449.

Section 3. Statement as to Information Material to Examination Not Found In Patents or Publications

Both of the Declarations referenced below contain information and provide exhibits, some of which are proprietary to the assignee of the above-identified application. Specifically, the first of the below-referenced Declarations and some of the Exhibits thereto, as well as Exhibit B to the second of the below-referenced Declarations contain information proprietary to the assignee of the above-identified application in the form of descriptions of business strategies and identities of companies with which the predecessor in interest of the assignee negotiated. Accordingly, to the extent to which a Declaration and/or its exhibits contain proprietary information, the Declaration and/or the exhibits thereto are submitted herewith under MPEP § 724.02 in a sealed container labeled in accordance with MPEP § 724.02. Reference is made as follows:

Reference is made to the Declaration by John Dietz, entitled "VERIFIED STATEMENT (DECLARATION) NUMBER 1 IN SUPPORT OF INFORMATION DISCLOSURE STATEMENT IN U.S. APPLICATION SERIAL NOS. 09/684,010, 09/684,871, 09/684,870, 09/684,808, 09/684,869, 09/685,078, 09/680,649, 09/680,654, 09/684,865, 09/685,077, 09/684,014, 09/684,861, 09/684,152, 09/684,866, 09/820,377, AND 09/820,292", executed July 20, 2001, enclosed herewith, including the attachments thereto (the Declaration and some of the exhibits thereto contain information proprietary to the assignee of the above-identified application in the form of descriptions of business strategies and identities of companies with which the predecessor in interest of the assignee negotiated. Accordingly, the Declaration and the exhibits thereto are submitted herewith under MPEP § 724.02 in a sealed container labeled in accordance with MPEP § 724.02); and

Reference is further made to the Declaration by John Dietz, entitled "VERIFIED STATEMENT (DECLARATION) NUMBER 2 IN SUPPORT OF INFORMATION DISCLOSURE STATEMENT IN U.S. APPLICATION SERIAL NOS. 09/684,010,

Application Serial No. 09/820,377  
SUPPLEMENTAL INFORMATION  
DISCLOSURE STATEMENT

09/684,871, 09/684,870, 09/684,808, 09/684,869, 09/685,078, 09/680,649, 09/680,654, 09/684,865, 09/685,077, 09/684,014, 09/684,861, 09/684,152, 09/684,866, 09/820,377, AND 09/820,292", executed July 20, 2001, enclosed herewith, including the attachments thereto (Exhibit B to the Declaration contains information proprietary to the assignee of the above-identified application in the form of descriptions of business strategies and identities of companies with which the predecessor in interest of the assignee negotiated. Accordingly, Exhibit B is submitted herewith under MPEP § 724.02 in a sealed container labeled in accordance with MPEP § 724.02).

Respectfully submitted,



---

Marilyn Khorsandi

Reg. No. 45,744

Date: October 15, 2001

Telephone No.: (626) 796-2856

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Substitute for form 1449A/PTO			Complete if Known		
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)			Application Number	09/820,377	
			Filing Date	3/27/2001	
			First Named Inventor	Williams, et al.	
			Group Art Unit	2161	
			Examiner Name	Unknown	
Sheet	1	of	1	Attorney Docket Number	PSTM0041/MRK

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		Declaration by JOHN DIETZ, entitled "VERIFIED STATEMENT (DECLARATION) NUMBER 1 IN SUPPORT OF INFORMATION DISCLOSURE STATEMENT IN U.S. APPLICATION SERIAL NOS. 09/684,010, 09/684,871, 09/684,870, 09/684,808, 09/684,869, 09/685,078, 09/680,649, 09/680,654, 09/684,865, 09/685,077, 09/684,014, 09/684,861, 09/684,152, 09/684,866, 09/820,377, AND 09/820,292", executed July 20, 2001, pages 1-8 (with Exhibits A-J attached).	
		Declaration by JOHN DIETZ, entitled "VERIFIED STATEMENT (DECLARATION) NUMBER 2 IN SUPPORT OF INFORMATION DISCLOSURE STATEMENT IN U.S. APPLICATION SERIAL NOS. 09/684,010, 09/684,871, 09/684,870, 09/684,808, 09/684,869, 09/685,078, 09/680,649, 09/680,654, 09/684,865, 09/685,077, 09/684,014, 09/684,861, 09/684,152, 09/684,866, 09/820,377, AND 09/820,292", executed July 20, 2001, pages 1-6 (with Exhibits A and B attached).	
		"Smartship.com Announces Multi-Carrier Shipping and Tracking Function for E-Commerce", SmartShip.com Press Release, April 3, 2000, 2 pages, Irvine California.	
		"New Web site offers quick shipping-rate comparisons", SmartShip.com, Philadelphia Inquirer January 13, 2000, Henry J. Holcomb, 3 pages	

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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Substitute for form 1449A/PTO

Complete if Known

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

[REDACTED UNDER 37 C.F.R. SECTION .217(d)]

(use as many sheets as necessary)

Sheet 1 of 1

Application Number	09/820,377
Filing Date	3/27/2001
First Named Inventor	Williams, et al.
Group Art Unit	2161
Examiner Name	Unknown
Attorney Docket Number	PSTM0041/MRK

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JUN 25 2002

GROUP 3600

**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)			

**OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS**

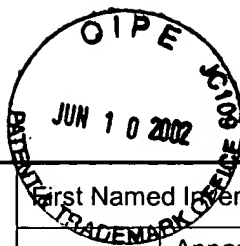
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		Declaration by JOHN DIETZ, entitled "VERIFIED STATEMENT (DECLARATION) NUMBER 1 IN SUPPORT OF INFORMATION DISCLOSURE STATEMENT IN U.S. APPLICATION SERIAL NOS. [REDACTED UNDER 37 C.F.R. SECTION .217(d)], 09/820,377, AND 09/820,292", executed July 20, 2001, pages 1-8 (with Exhibits A-J attached).	
		Declaration by JOHN DIETZ, entitled "VERIFIED STATEMENT (DECLARATION) NUMBER 2 IN SUPPORT OF INFORMATION DISCLOSURE STATEMENT IN U.S. APPLICATION SERIAL NOS. [REDACTED UNDER 37 C.F.R. SECTION .217(d)], 09/820,377, AND 09/820,292", executed July 20, 2001, pages 1-6 (with Exhibits A and B attached).	
		"Smartship.com Announces Multi-Carrier Shipping and Tracking Function for E-Commerce", SmartShip.com Press Release, April 3, 2000, 2 pages, Irvine California.	
		"New Web site offers quick shipping-rate comparisons", SmartShip.com, Philadelphia Inquirer January 13, 2000, Henry J. Holcomb, 3 pages	

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



<b>CERTIFICATION THAT REDACTIONS OF SUBMISSION ARE LIMITED TO ELIMINATION OF MATERIAL NOT CONTAINED IN REDACTED APPLICATION FOR PUBLICATION</b> (Under 37 C.F.R. § 1.217(d)(3))	First Named Inventor	Williams et al.
	Title	Apparatus, Systems and Methods for Online, Multi-Parcel, Multi-Carrier, Multi-Service Enterprise Parcel Shipping Management
	Atty Docket Number: PSTM0041/MRK	Serial No.: 09/820,377 Filed: March 27, 2001

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JUN 25 2002

**GROUP 3600**

Applicant hereby certifies that the redactions of the SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT 37 CFR § 1.97(b) and the accompanying Form 1449 for that submission in the above-identified application as provided in the SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT 37 CFR § 1.97(b) [REDACTED UNDER 37 C.F.R. SECTION 1.217(d)] and the accompanying Form 1449 [REDACTED UNDER 37 C.F.R. SECTION 1.217(d)] submitted herewith are limited to the elimination of material that is relevant only to the part or description of the invention that was not contained in the redacted copy of the application submitted for publication.

October 15, 2001

Date

Marilyn R. Khorsandi

Marilyn R. Khorsandi  
Reg. No. 45,744  
Khorsandi Patent Law Group, ALC  
140 South Lake Avenue, Suite 312  
Pasadena, CA 91101  
U.S.A.  
(626) 796-2856

This request is signed in compliance with 37 CFR 1.33(b).

I hereby certify that this correspondence is being deposited with the United Postal Service with sufficient postage as priority mail in an envelope addressed to Assistant Commissioner for Patents and Trademarks, Washington, D.C. 20231 on October 15, 2001.



*Philip R. Shorrock*  
Signature: \_\_\_\_\_

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Williams et al.

Serial No.: 09/820,377

Filed: March 27, 2001

Title: Apparatus, Systems and Methods  
for Online, Multi-Parcel, Multi-  
Carrier, Multi-Service Enterprise  
Parcel Shipping Management

Attorney Docket No.: PSTM0041/MRK

Group Art Unit: 2161

Examiner: Not yet Assigned

Date: October 15, 2001

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GROUP 3600

Assistant Commissioner for Patents  
Washington, D.C. 20231

140 S. Lake Ave., Suite 312  
Pasadena, CA 91101-4710

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

**37 CFR § 1.97(b)**

**[REDACTED UNDER 37 C.F.R. SECTION 1.217(d)]**

Commissioner:

Section 1: Preliminary Statements:

In compliance with the duty of disclosure under 37 CFR §§ 1.56, 1.97 and 1.98, and in accordance with the provisions in the manual of patent examining procedure §§ 609 and 707.05(B), enclosed is Form PTO-1449 listing references that are known to applicant. Copies of each of the listed references are enclosed. This filing is timely because it is made during one of the periods described in 37 CFR § 1.97(b).

While this Information Disclosure Statement, and the references cited in any enclosed Form PTO-1449 may be "material" pursuant to 37 CFR § 1.56, submission of this Information Disclosure Statement and citation of references listed in any enclosed Form PTO-1449 are not intended to constitute an admission that any patent, publication or other information referred to herein is "prior art" for this invention unless specifically designated as such.

Application Serial No. 09/820,377  
SUPPLEMENTAL INFORMATION  
DISCLOSURE STATEMENT  
(REDACTED)

In accordance with 37 CFR 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 CFR 1.56(a) exists.

It is respectfully requested that the listed references be considered in the examination of this application and identified on the list of references cited on the patent issuing for this application. Applicant also requests that an initialed copy of Form PTO-1449 be entered in the application file and returned to Applicant with the next communication from the office in accordance with MPEP §609.

Section 2. FORM 1449

A list of patents and publications is set forth on the enclosed Form PTO-1449.

Section 3. Statement as to Information Material to Examination Not Found In Patents or Publications

Both of the Declarations referenced below contain information and provide exhibits, some of which are proprietary to the assignee of the above-identified application. Specifically, the first of the below-referenced Declarations and some of the Exhibits thereto, as well as Exhibit B to the second of the below-referenced Declarations contain information proprietary to the assignee of the above-identified application in the form of descriptions of business strategies and identities of companies with which the predecessor in interest of the assignee negotiated. Accordingly, to the extent to which a Declaration and/or its exhibits contain proprietary information, the Declaration and/or the exhibits thereto are submitted herewith under MPEP § 724.02 in a sealed container labeled in accordance with MPEP § 724.02. Reference is made as follows:

Reference is made to the Declaration by John Dietz, entitled "VERIFIED STATEMENT (DECLARATION) NUMBER 1 IN SUPPORT OF INFORMATION DISCLOSURE STATEMENT IN U.S. APPLICATION SERIAL NOS. **[REDACTED UNDER 37 C.F.R. SECTION 1.217(d)]** 09/820,377, AND 09/820,292", executed July 20, 2001, enclosed herewith, including the attachments thereto (the Declaration and some of the exhibits thereto contain information proprietary to the assignee of the above-identified application in the form of descriptions of business strategies and identities of companies with which the predecessor in interest of the assignee negotiated. Accordingly, the Declaration and the exhibits thereto are submitted herewith under MPEP § 724.02 in a sealed container labeled in accordance with MPEP § 724.02); and

Reference is further made to the Declaration by John Dietz, entitled "VERIFIED STATEMENT (DECLARATION) NUMBER 2 IN SUPPORT OF INFORMATION DISCLOSURE STATEMENT IN U.S. APPLICATION SERIAL NOS. **[REDACTED**



Application Serial No. 09/820,377  
SUPPLEMENTAL INFORMATION  
DISCLOSURE STATEMENT  
(REDACTED)

**UNDER 37 C.F.R. SECTION 1.217(d)]** 09/820,377, AND 09/820,292", executed July 20, 2001, enclosed herewith, including the attachments thereto (Exhibit B to the Declaration contains information proprietary to the assignee of the above-identified application in the form of descriptions of business strategies and identities of companies with which the predecessor in interest of the assignee negotiated. Accordingly, Exhibit B is submitted herewith under MPEP § 724.02 in a sealed container labeled in accordance with MPEP § 724.02).

Respectfully submitted,



---

Marilyn Khorsandi

Reg. No. 45,744

Date: October 15, 2001

Telephone No.: (626) 796-2856

I hereby certify that this correspondence is being deposited with the United Postal Service with sufficient postage as priority mail in an envelope addressed to Assistant Commissioner for Patents and Trademarks, Washington, D.C. 20231 on October 15, 2001.



*Paulyn R. Khosravi*  
Signature:

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

RECEIVED  
JUN 25 2002  
GROUP 3600

Inventor(s): Williams et al.

Serial No.: 09/820,377

Filed: March 27, 2001

Title: Apparatus, Systems and Methods  
for Online, Multi-Parcel, Multi-  
Carrier, Multi-Service Enterprise  
Parcel Shipping Management

Attorney Docket No.: PSTM0041/MRK

Group Art Unit: 2161

Examiner: Not Yet Assigned

Date: October 15, 2001

Assistant Commissioner for Patents  
Washington, D.C. 20231

140 S. Lake Ave., Suite 312  
Pasadena, CA 91101-4710

**REDACTED SUBMISSION BY APPLICANT  
OF SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT  
AND FORM 1449  
UNDER 37 CFR § 1.217(d)(2)(ii)  
FOR REDACTION OF FILE WRAPPER UNDER 37 CFR § 1.217(d)**

Assistant Commissioner:

This submission is pursuant to a previous request for publication of a redacted copy of the above-identified application in accordance with 37 CFR § 1.217(c). The redacted copy of the above-identified application was previously submitted in compliance with the Office's electronic filing system requirements in accordance with 37 CFR § 1.217(b).

Under 37 CFR § 1.217(d), applicant hereby requests redaction of the Supplemental Information Disclosure Statement, and accompanying Form 1449 concurrently filed herewith for the publicly available file wrapper of the above-identified application. In accordance with 37 CFR § 1.217(d)(2)(ii), in addition to the Supplemental Information Disclosure Statement and accompanying Form 1449 concurrently filed herewith, applicant hereby files in this application in paper form the following:

06/14/2002 BSAYAS11 00000018 09820377

01 FC:122

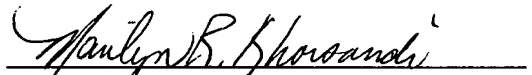
130.00 0P

W

Application Serial No. 09/820,377  
SUBMISSION OF REDACTED  
IDS, FORM 1449 and ENCLOSURES  
UNDER 37 CFR § 1.217(d)(2)(ii)

- A redacted copy of the Supplemental Information Disclosure Statement, and accompanying Form 1449 with a redacted copy of Verified Statement (Declaration) Number 2 (without sealed Exhibit B);
- a marked-up copy of the Supplemental Information Disclosure Statement and accompanying Form 1449 showing the redactions in brackets with a marked-up copy of Verified Statement (Declaration) Number 2 (without Exhibits);
- a certification under 37 CFR § 1.217 (d)(3) that the redactions of the Supplemental Information Disclosure Statement and accompanying Form 1449 are limited to the elimination of material that is relevant only to the part or description of the invention that was not contained in the redacted copy of the application submitted for publication; and
- a check in the amount of \$130 as required under 37 CFR § 1.217 (d)(3) and 37 CFR § 1.17(i).

Respectfully submitted,



Marilyn R. Khorsandi

Reg. No. 45,744

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